

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
2002DE301

In Re Application Of: Takamasa HARADA, Fumio KITA, Andreas ZIMMERMANN, Ulrike DELLWO,  
Martin MENNIG, Peter W. OLIVEIRA, Helmut SCHMIDT, Heike SCHNEIDER

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
NOT ASSIGNED	June 24, 2004	NOT ASSIGNED	26289	NOT	NOT ASSIGNED

Title:

**NANOCOMPOSITE MATERIAL FOR THE PRODUCTION OF FILMS WITH A REFRACTIVE INDEX GRADIENT**

Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
 (Under 37 C.F.R. 1.97(b) or 1.97(c))

 Docket No.  
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**NANOCOMPOSITE MATERIAL FOR THE PRODUCTION OF FILMS WITH A REFRACTIVE INDEX**
**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **03-2060**  
 as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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 I certify that this document and fee is being deposited on  
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 mail under 37 C.F.R. 1.8 and is addressed to the  
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 22313-1450.

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 Signature of Person Mailing Correspondence

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 Typed or Printed Name of Person Mailing Certificate

 \*This certificate may only be used if paying by  
 deposit account.

 Dated: **June 24, 2004**

 \_\_\_\_\_  
 Signature

CC:

**CERTIFICATE OF MAILING/FACSIMILE TRANSMISSION (37 CFR 1.8)**

I hereby certify that this paper (along with any paper referred to as being transmitted therewith) is being deposited with the United States Postal Service in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on the date shown below as EXPRESS MAIL POST OFFICE TO ADDRESSEE, MAILING LABEL NO. ER360041875 US.

Maria T. Sanchez

(Print Name)

Date: June 24, 2004Maria T. Sanchez  
(Signature)

Attorney's Docket No. 2002DE301

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: HARADA et al

Serial No.: NOT ASSIGNED

Group Art Unit: NOT ASSIGNED

Filed: June 24, 2004

Examiner: NOT ASSIGNED

For: NANOCOMPOSITE MATERIAL FOR THE PRODUCTION OF FILMS WITH  
A REFRACTIVE INDEX GRADIENT**Commissioner for Patents****P.O. Box 1450****Alexandria, Virginia 22313-1450****INFORMATION DISCLOSURE STATEMENT WITHIN THREE MONTHS  
OF FILING OR BEFORE MAILING OF THE FIRST OFFICE ACTION**

Sir:

**1. IDENTIFICATION OF TIME OF FILING INFORMATION DISCLOSURE  
STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).

**2. PRELIMINARY STATEMENTS**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

**3. COMPLETED FORM PTO-1449 IS ATTACHED.****4. IDENTIFICATION OF PRIOR APPLICATION IN WHICH LISTED INFORMATION WAS ALREADY CITED AND FOR WHICH NO COPIES ARE SUBMITTED OR NEED BE SUBMITTED**

☒ This application relies, under 35 U.S.C. 120, on the earlier filing date of prior International Application Serial No. PCT/EP03/00020, filed on 01/03/03 which issued into International Patent No. WO 03/05773A1. The following references were submitted to and/or cited by the Office in this prior application, and therefore, are not required to be provided in this application.

**5. COPIES OF LISTED INFORMATION ITEMS ACCOMPANYING THIS STATEMENT**

Legible copies of all items listed accompany this information statement.

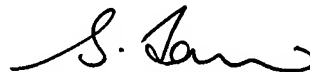
☐ Exception(s) to above:

☒ Items in prior application from which an earlier filing date is claimed for this application as identified in No. 4 above.

**6. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted:



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10/500194

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

2002DE301

Application Number

NOT ASSIGNED

Applicant(s)

Takamasa HARADA, Fumio KITA, Andreas ZIMMERMANN, Ulrike DELLWO, MENNIG, Peter W. OLIVEIRA, Helmut SCHMIDT, SCHNEIDER

Filing Date

June 24, 2004

Group Art Unit

NOT ASSIGNED

## U.S. PATENT DOCUMENTS

DT11 Rec'd PCT/PTO 24 JUN 2004

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,529,473	06/25/1996				
		5,552,261	09/03/1996				

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
		WO 95/13326	10/24/1994	EUROPE				
		WO 97/38333	04/03/1997	EUROPE				
		DE 195 11 627 A1	03/30/1995	GR				
		DE 197 19 948 A1	05/13/1997	GR				

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.